

Maintaining Student Records and Program Assurances

Written 7.18.06

Student Records

1. Student records may be accessed by USOE and/or OVAE staff or financial auditors at any time for program monitoring purposes.
2. Every student's file and the contents listed below must be maintained in perpetuity.
3. Student files must be maintained in a secure manner.
4. A student file contains all documentation pertinent to the student's education, including:
 - Demographic information (updated as needed).
 - Current and past SEOPs.
 - All assessment protocol score sheets used to determine student's EFL and level gains.
 - Copies of all grades, including report cards and transcripts obtained from outside agencies.
 - Current cumulative transcript.
 - Copy of official GED report.
 - Copies of all pay stubs used for awarding Career and Technical Education or elective credit.
 - Copies of professional license(s) or certificated skill training used for awarding Career and Technical Education credit.
 - Copy of military Form DD214 used for awarding elective credit.
 - Completed Core Follow-Up Surveys.
 - Copies of releases of information requesting student record information and/or releasing student record information.
 - Copy of the student's most recent special education IEP if the student is under the age of 22.
 - Outside psychological, psychiatrist or medical documentation.
 - Record of accommodations provided.
 - Antidotal programming notes pertinent to the student's progress.
5. Documentation must contain student's graduation date.
6. Individual attendance records must be maintained for each class that the student participates in. Attendance records may be maintained as part of a "master roll" that is maintained for each fiscal year.

Program Assurances:

By accepting state or federal funds, programs provide certification that the program will:

- Utilize qualified administrative personnel and instructional staff.
- Provide guidance and counseling services.
- Develop effective recruitment and retention strategies.
- Provide adequate facilities, equipment and materials.
- Provide educational services at a reasonable cost/benefit.
- Comply with the Title VI of the Civil Rights Act of 1964 prohibiting discrimination in program benefits, participation, employment, or treatment on the basis of race, color, or national origin, as well as comply with the provisions of Title IX of the Education Amendments of 1972 prohibiting discrimination on the basis of sex.
- Comply with the Family Educational Rights and Privacy Act of 1974.
- Assure that no qualified disabled person shall, on the basis of disability, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity which has received or benefits from Adult Education and Family Literacy Act financial assistance.
- Assure that no person, on the basis of age, provided the person is over 16 years of age, will be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity which receives or benefits from Adult Education and Family Literacy Act financial assistance.
- Actively participate in directors/coordinators/program staff training as requested by the Utah State Office of Education.

Additional program assurances that must be maintained include the following:

1. Records or documents related to the grant(s), including student files and submitted reports as required, may be accessed by the USOE and/or OVAE staff or financial auditors at any time for program monitoring purposes.
2. Program operation must be in compliance with all federal rules/regulations and state guidelines.

3. Accountability will be maintained and controlled for all grant activities, property and other assets.
4. Property will be used solely for authorized purposes.
5. Appropriately amended application(s) will be submitted prior to any material change affecting the purpose, administration, organization, budget or operation of the approved project.
6. Funds will only be expended on eligible activities outlined in the Adult Education and Family Literacy Act.
7. Funds will be used only for financial obligations incurred during the period of the grant.
8. State and federal required program data will be collected and entered in the state Management Information System (MIS).
9. Resources are to be made available, and a process established, to develop a Student Education Occupation Plan (SEOP) for each student.
10. By accepting federal funds, programs agree to provide state and/or local matching expenditures equal to or greater than the aggregate amount expended during the preceding fiscal year. If this is a first-year project, state and/or local matching will be a minimum of twenty-five percent (25%) of the federal funding per year.
11. Cooperation with programs under the Utah Department of Workforce Services, the Utah State Office of Rehabilitation and the Utah System of Higher Education must take place.
12. The Utah State Board of Education's requirements for demonstrated competencies of speaking, listening, reading, writing, computation (arithmetic), skills in democratic governance, skills as a consumer, problem-solving skills, and career/occupational skills development will be top priorities of the program.
13. Coordination with state and local agencies' reading improvement programs designed to provide reading instruction to adults will be provided for.
14. The state-approved syllabus for English Language/Civics education must be used for the duration of the grant period (EL/Civics only).
15. No expenditure of program funds must be made to any activity or service related to sectarian or religious worship.
16. Reports containing such information as the State Superintendent of Public Instruction and/or OVAE may reasonably require to determine the extent to which funds have been effective in carrying out

- legislative/congressional purposes and project objectives must be prepared.
17. A local program advisory committee must be maintained involving community representation (including residents) in program development to facilitate delivery of a program that provides students with intensity and rigor. Agendas and minutes of each meeting are to be maintained.
 18. Application must be submitted to partnering agencies, the program's advisory committee, local workforce investment board, and providers for comments and/or recommendations prior to submission to the USOE.
 19. Requests for federal reimbursement will be submitted quarterly at a minimum, to the Utah State Office of Education.